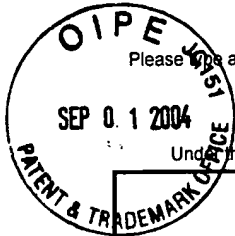


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1642/1  
Jew

Please use a plus sign (+) inside this box →



PTO/SB/21 (05-03)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/715,725

Filing Date November 16, 2000

First Named Inventor LUO, YING

Group Art Unit 1642

Examiner Name UNGAR, SUSAN NMN

Total Number of Pages in This Submission 6 + ref.

Attorney Docket Number RIGL-008CIP

## ENCLOSURES (check all that apply)



Fee Transmittal Form

☐ Fee Attached


Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)


Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Documents

Response to Missing Parts/  
Incomplete Application
☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53
Assignment Papers  
(for an Application)

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a  
Provisional ApplicationPower of Attorney, Revocation  
Change of Correspondence  
Address

Terminal Disclaimer



Request for Refund



CD, Number of CD(s)

After Allowance Communication  
to GroupAppeal Communication to Board  
of Appeals and InterferencesAppeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please  
identify below):

1. Form PTO/SB/08A
2. Copy of reference
3. Postcard

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Signing Attorney/Agent  
(Reg. No.)JAMES S. KEDDIE, PH.D., 48,920  
BOZICEVIC, FIELD & FRANCIS LLP

Signature

Date

September 1, 2004

EXPRESS MAIL LABEL NO. EV462737848US

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**FEE TRANSMITTAL**  
**for FY 2004**

Effective 10/1/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT (\$)**180****Complete if Known**

Application Number **09/715,725**  
 Filing Date **November 16, 2000**  
 First Named Inventor **LUO, YING**  
 Examiner Name **UNGAR, SUSAN NMN**  
 Art Unit **1642**  
 Attorney Docket No. **RIGL-008CIP**

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:
 Deposit  
 Account  
 Number  
 Deposit  
 Account  
 Name

50-0815

Bozicevic, Field &amp; Francis LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge Any Additional Fee(s) Required under 37 C.F.R. 1.17.☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1001 770	2001 385	Utility filing fee
1002 340	2002 170	Design filing fee
1003 530	2003 265	Plant filing fee
1004 770	2004 385	Reissue filing fee
1005 160	2005 80	Provisional filing fee

**SUBTOTAL (1)****2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	x	=
Indep. Claims	-3** =	x	=
Multiple Dependent			=

Large Entity Small Entity

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$**

\*\*or number previously paid, if greater; For Reissues, see above.

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1051 130	2051 65	Surcharge - late filing fee or oath
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet
1053 130	1053 130	Non-English specification
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination
1804 920*	1804 920*	Requesting publication of SIR prior to Examination action
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action
1251 110	2251 55	Extension for reply within first month
1252 420	2252 210	Extension for reply within second month
1253 950	2253 475	Extension for reply within third month
1254 1,480	2254 740	Extension for reply within fourth month
1255 2,010	2255 1,005	Extension for reply within fifth month
1401 330	2401 165	Notice of Appeal
1402 330	2402 165	Filing a brief in support of an appeal
1403 290	2403 145	Request for oral hearing
1451 1,510	1451 1,510	Petition to institute a public use proceeding
1452 110	2452 55	Petition to revive - unavoidable
1453 1,330	2453 665	Petition to revive - unintentional
1501 1,330	2501 665	Utility issue fee (or reissue)
1502 480	2502 240	Design issue fee
1503 640	2503 320	Plant issue fee
1406 130	1460 130	Petitions to the Commissioner
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)
1806 180	1806 180	Submission of Information Disclosure Stmt
8021 40	8021 40	Recording each patent assignment per property (times number of properties)
1809 770	2809 385	Filing a submission after final rejection (37 CFR § 1.129(a))
1810 770	2810 385	For each additional invention to be examined (37 CFR § 1.129(b))
1801 770	2801 385	Request for Continued Examination (RCE)
1802 900	1802 900	Request for expedited examination of a design application

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

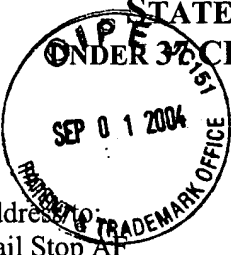
**SUBTOTAL (3) (\$)****180****SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	James S. Keddie, Ph.D.	Registration No. (Attorney/Agent)	48,920	Telephone	(650) 833-7723
Signature	<i>James S. Keddie</i>	Date	09/01/2004		

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<b>INFORMATION DISCLOSURE STATEMENT</b> <b>UNDER 37 CFR § 1.97(D)</b>  Address to: Mail Stop AT Commissioner for Patents P.O. Box 1450	Attorney Docket	RIGL-008CIP
	First Named Inventor	LUO, YING
	Application Number	09/715,725
	Filing Date	November 16, 2000
	Group Art Unit	1642
	Examiner Name	UNGAR, SUSAN NMN
Title: <i>"NOVEL IAPS ASSOCIATED CELL CYCLE PROTEINS, COMPOSITIONS AND METHODS OF USE"</i>		

Sir:

This is an Information Disclosure Statement submitted for the Examiner's consideration. This is being filed after a Final Action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first, but before, or simultaneously with, the payment of the issue fee.

A Form SB08 (substitute for form 1449) listing the references accompanies this paper. Applicants would appreciate the Examiner initialing and returning the form to indicate that the references have been reviewed and made of record.

**Statement(s) under 37 CFR § 1.97(e):**

- ☒ (1) That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or
- ☐ (2) That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

This Information Disclosure Statement is not intended as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one of the above references constitutes prior art to the present application within the meaning of 35 U.S.C. §102.

09/07/2004 EAREGAY1 00000068 500815 09715725

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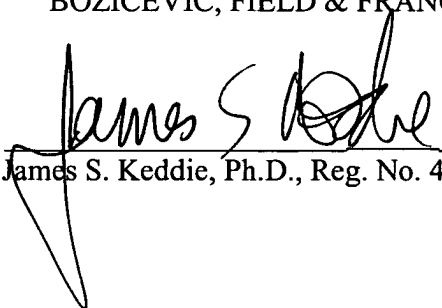
In accordance with the requirements of 37 C.F.R. §1.97(d) accompanying this paper is a certification as specified in 37 C.F.R. §1.97(e). Applicant(s) hereby petition for the consideration of this Information Disclosure Statement.

The \$180.00 fee set forth in 37 C.F.R. §1.17(p) to cover the petition accompanies this disclosure statement. The Office is hereby authorized to charge any additional fees which may be required by this paper or any fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21, or to credit any overpayment, to our Deposit Account No. 50-0815, Order No. «REFERENCE» may be charged thereon.

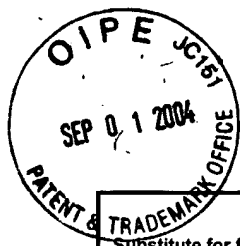
Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date: September 1, 2004

By:

  
James S. Keddie, Ph.D., Reg. No. 48,920

BOZICEVIC, FIELD & FRANCIS  
LLP 200 Middlefield Road, Suite 200  
Menlo Park, CA 94025  
Telephone: (650) 327-3400  
Facsimile: (650)327-3231



PTO/SB/08a (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>	
		<b>Application Number</b>	09/715,725
		<b>Filing Date</b>	November 16, 2000
		<b>First Named Inventor</b>	LUO, YING
		<b>Art Unit</b>	1642
		<b>Examiner Name</b>	UNGAR, SUSAN NMN
		<b>Attorney Docket Number</b>	RIGL-008CIP
<b>Sheet</b>	1	<b>of</b>	1

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
		US-				
		US-				
		US-				
		US-				

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)					

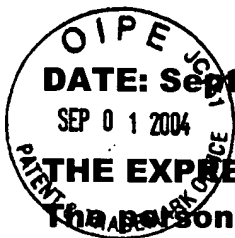
OTHER ART—NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		<b>LISTON et al., SUPPRESSION OF APOPTOSIS IN MAMMALIAN CELLS BY NAIP AND A RELATED FAMILY OF IAP GENES, Nature, 1996, 379(6563): 349-53 (abstract only)</b>	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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DATE: September 1, 2004

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The person taking the Express Mail to the Post Office is: Stuart McLeish

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Date of Deposit: 09/01/2004 I hereby certify that the below-listed papers or fees were inserted into a package addressed to: Commissioner for Patents, PO BOX 1450, Alexandria, Virginia 22313-1450 and was deposited by me with the United States Postal Service "Express Mail Post Office Addressee" service under 37 C.F.R. § 1.10 on the date indicated above.

Signature

*Stuart McLeish*

Date

*9/1/04*

Atty. Docket No.	Serial Number	Description	Atty.	Fee
RIGL-008CIP2	10/130,555	Transmittal, IDS, SB08A, (1) Cited Reference	JSK	
RIGL-008CIP	09/715,725	Transmittal, Fee Sheet <i>in duplicate</i> , IDS, SB08A, (1) Cited Reference	JSK	\$180
UCSF-127CON2	10/728,122	Transmittal, Fee Sheet <i>in duplicate</i> , Copy of Notice to File Missing Parts	PJS	\$504
AGYT-017CIP	10/246,837	Amendment	PJS	
STAN-096DIV2	10/340,101	Amendment After Final Rejection	PJS	
UCAL-230	10/025,966	Transmittal, Petition for a 3 Month Extension of Time <i>in duplicate</i>	PAB	\$475
UCAL-154CIP5	10/629,313	Transmittal, IDS, SB08A, (4) Cited References	CLF	
VITA-014	10/847,818	Transmittal, Fee Sheet <i>in duplicate</i> , Copy of Notice to File Missing Parts, Executed Declaration	JSK	\$65
RIGL-002CON	09/651,150	Transmittal, Petition for a 1 Month Extension of Time <i>in duplicate</i> , Amendment	JSK	\$55
REDL-008	10/882,993	IDS, SB08A, (4) Cited References	BEF	
EURE-001	10/845,366	IDS, SB08A, (5) Cited References	BEF	